



01/10/02

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

PF375P1D1

First Inventor

NI, et al.

Title

Human Tumor Necrosis Factor Receptor TR9

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 202311. ☒ Fee Transmittal Form (e.g., PTO/SB/17) (in duplicate)
(Submit an original, and a duplicate for fee processing)2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.3. ☒ Specification [Total Pages: 185]

(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Sequence Listing
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]5. ☒ Oath or Declaration [Total Pages 2]

- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76 [4 pages].7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies), or
 - ii. ☒ paper (19 pages)

c. ☐ Statements verifying identity of above copies**ACCOMPANYING APPLICATION PARTS**9. ☒ Copy of Assignment Papers (cover sheet & document(s))
from prior Appl. No. 09/527,236 (7 pp.)10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney11. ☐ English Translation Document (if applicable)12. ☒ Information Disclosure Statement/ Form PTO/SB/08
☐ Copies of Citations13. ☒ Preliminary Amendment and Version With Markings to
Show Changes Made14. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)16. ☒ Other: (a) Request Under 37 C.F.R. 1.821(e); and
(b) Submission of Formal Drawings and accompanying
formal drawings (11 Sheets; Figs. 1A-6)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 09/527,236, filed March 16, 2000.

Prior application information: Examiner: O'Hara, E. Group/Art Unit 1646

For CONTINUATION OR DIVISIONAL APPS only The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label

22195

or ☐ Correspondence address below

NAME

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type)

Jonathan L. Klein

Registration No. (Attorney/Agent)

41,119

SIGNATURE

Date January 10, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

FEE TRANSMITTAL

for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	To be Assigned
Filing Date	Concurrently herewith
First Named Inventor	NI, et al.
Examiner Name	To be Assigned
Group Art Unit	To be Assigned
Attorney Docket Number	PF375P1D1

Total amount of payment **\$ 1,064.00**

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number **08-3425**

Deposit Account Name **Human Genome Sciences, Inc.**

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR 1.27

- ☐ Payment Enclosed:
☐ Check ☐ Credit Card ☐ Money Order ☐ Other*

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) **\$740.00**

2. EXTRA CLAIM FEES

		Extra Claims		Fee from below		Fee Paid
Total Claims						
24	-20	4	\$18.00			72.00
Independent Claims	6	3	\$84.00			252.00
Multiple Dependent			\$280.00			0.00

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
108	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) **\$ 324.00**

** or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use hearing	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
145	100	145	100	Certificate of correction	
148	110	248	55	Statutory disclaimer	
561	3	561	3	Printed copy of patent, regular service	

Other fee (specify)

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **\$0.00**

Submitted By

Name (Print/Type): Jonathan L. Klein

Registration No.: 41,119

Telephone (301) 251-6015

Signature:

Date: January 10, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: NI *et al.*

Application Serial No.: To Be Assigned

Art Unit: To Be Assigned

Filed: Concurrently Herewith

Examiner: To Be Assigned

For: Human Tumor Necrosis Factor
Receptor TR9

Attorney Docket No.: PF375P1D1

REQUEST UNDER 37 C.F.R. §1.821(e)

Commissioner for Patents
Washington, D.C. 20231

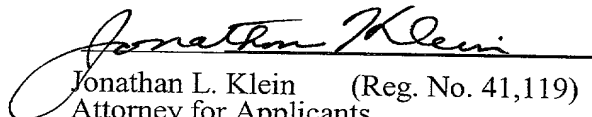
Sir:

The above-identified patent application is a divisional of Application Serial No. 09/527,236, filed March 16, 2000. The sequence listing of the instant application is identical to the sequence content of the computer readable sequence listing filed in connection with Application Serial No. 09/527,236, on March 16, 2000.

In accordance with 37 C.F.R. § 1.821(e), please use the computer readable form filed in connection with application Serial No. 09/527,236 as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is included in the specification of the instant application filed herewith. Applicants hereby certify that the paper copy of the Sequence Listing filed herewith and the computer readable sequence listing filed on March 16, 2000 in connection with application Serial No. 09/527,236 are the same and do not include new matter.

Respectfully submitted,

Dated: January 10, 2002


Jonathan L. Klein (Reg. No. 41,119)
Attorney for Applicants
Human Genome Sciences, Inc.
9410 Key West Avenue
Rockville, MD 20850
(301) 251-6015 (telephone)

JLK/BM/lcc

VIA HAND DELIVERY JANUARY 10TH, 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: NI *et al.*

Application Serial No.: To Be Assigned

Art Unit: To Be Assigned

Filed: Concurrently Herewith

Examiner: To Be Assigned

For: Human Tumor Necrosis Factor
Receptor TR9

Attorney Docket No.: **PF375P1D1**

SUBMISSION OF FORMAL DRAWINGS

Commissioner for Patents
Washington, D.C. 20231

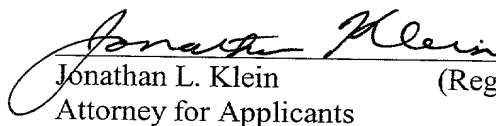
Sir:

Applicants submit herewith Formal Drawings of Figures 1A-6 (11 sheets) to replace the originally filed informal drawings of Figures 1A-6 (10 sheets).

No fee is believed due for this submission. In the event that a fee is required in connection with this submission, please charge the required fee to Deposit Account No. 08-3425.

Respectfully submitted,

Dated: January 10, 2002


Jonathan L. Klein (Reg. No. 41,119)
Attorney for Applicants

Human Genome Sciences, Inc.
9410 Key West Avenue
Rockville, MD 20850
Telephone: (301) 251-6015

Enclosures
JLK/BM/lcc